DOCUMENT RESUME

ED 288 239 EA 019 711

AUTHOR Hall, Gene E.
TITLE The Principal's Role in Setting School Climate (for School Improvement).
PUB DATE Apr 87
NOTE 27p.; Paper presented at the Annual Meeting of the American Educational Research Association (Washington, DC, April 20-24, 1987).
PUB TYPE Reports - Descriptive (141) -- Speeches/Conference Papers (150)

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS *Administrator Role; *Change; Educational Change; *Educational Environment; Elementary Secondary Education; *Leadership Styles; *Principals
IDENTIFIERS *Conceptual Frameworks

ABSTRACT

Given that principals play a role in setting school climate, this paper focuses on how this actually happens. First, the paper explores different criteria and variables as possible frameworks for defining the term "climate." This task is complicated by problems in identifying consensus findings due to weak variable definitions and lack of reliable, valid measures. Next, the databases and conceptual frameworks used to relate the principal's role, school climate, and effects are discussed. These frameworks are then employed to describe three different roles (responder, manager, and initiator) that principals can asume as change facilitators, along with brief descriptions of the types of climate likely to result. Responder style principals, who attend to the present and neglect long-range goals and alternative directions, can foster a rough atmosphere with fuzzy logistics and inefficient management practices. Manager style principals organize efficiently, support teachers well, overprotect them from outside pressures, and cushion the arrival of innovations. When committing to implementation, manager-principals are smooth facilitators in terms of logistics, resources, and innovative procedures. Initiator-principals are skilled at administrative procedures and at pushing students and teachers to excel. They have a strong future vision, support teachers' collaboration, and carry on meaningful dialogs related to student needs and achievements. Implications of the three roles for school improvement are also discussed. Included are 16 references and 6 figures. (MLH)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
X This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY
Gene E. Hall
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

ED288239

EA019711

THE PRINCIPAL'S ROLE IN SETTING SCHOOL CLIMATE

(for School Improvement)[1]

Gene E. Hall

Department of Educational Leadership
R&D Center on School Improvement
University of Florida

Principal R:

I see my teachers as being professionals. They know more about teaching than I do and it is my job to take care of the other things so they can teach.

Principal M:

I put a lot of time into this school. I am not sure of exactly what they (the outside agents) are expecting us to do in this project. My teachers already have so much to do that I don't think more should be added on.

Principal I:

This school is really clicking. The kids are doing better than ever on the tests and I like the way my teachers are teaching. They are really focusing in on what is happening in their classrooms with kids.

These three descriptions illustrate different ways principals perceive their teachers and their schools. These descriptions also illustrate the different leadership emphases that principals can and do play. Principal R believes his/her

---

[1]Paper presented at the annual meeting of The American Educational Research Association, Washington, D.C: April 20-24, 1987.

BEST COPY AVAILABLE

teachers will do their best using their own abilities. Principal M sees a part of his/her role to be protecting teachers from outside pressures. While Principal I is focusing his/her thoughts on teaching and learning.

If real life principals were to carry out their roles in ways that were consistent with each of the above descriptions then it seems quite reasonable to expect that in their schools expectations for teachers and students, the types of discussions that occur between adults, and priorities would be quite different and the resultant impressions of climate indicate major cross school differences. In each case, the development of the images of teachers, principals and schools have begun with a two or three sentence statement by a principal.

That principals do play a role in setting school climate seems sufficiently obvious to allow this analysis to move on to the more focused question of how do principals affect the climate in their schools? This question is the topic of this paper. The analysis begins with an exploration of different criteria/variables that can be used as frameworks for defining what is meant by the term climate. This is followed by a brief discussion of the data bases and conceptional frameworks that can be used to relate the principals role, school climate and effects. Then these frameworks are employed to describe three different roles that principals can take, along with a brief descriptions of the types of climates that are likely to result. The paper concludes with a discussion of implications for the role of the principal in setting school climate for school improvement.

CRITERIA FOR DEFINING CLIMATE: INDIVIDUAL OR GROUP?

The first task in developing this analysis is to propose a way of defining climate that takes into account the vast array of research activities that have been done under the label of "climate studies". The resultant framework needs to be applicable to existing studies of the principal and, if possible, be heuristic in terms of developing directions for future studies as well as offering guidance for present practice.

The history of research on school climate, although extensive, has not been that spectacular in terms of consistency of findings. For some reason there appears to be a continual fascination with the concept of climate, but never ending problems in identifying consensus findings. Part of the problem lies in the weak definition of variables and the failure to develop reliable and valid measures. This has been

especially true in the climate work that has been done in Education.

Whether one reviews the extensive history of studies and criticism of the Organizational Climate Description Questionnaire (Halpin and Croft, 1963), or the more recent focus on Situational Leadership (Hersey and Blanchard, 1977) efforts or the professional associations the definitions of concepts are inconsistent and the measures frequently have no reported estimates of reliability and validity, and only show weak estimates of scale independency.

For a long time, I was at a loss to explain how so much effort could have resulted in so few consistent and accumulating findings. That at least had been my impression of the volumes of work on climate. The breakthrough for me came in the discovery of a paper by James and Jones (1974) in which they analyzed the literature on climate with especially heavy emphasis upon the work in industrial settings. Their conclusion is:

> In sum, organizational climate appears to have been used primarily as a global concept or summary category which tends to be tautological in that it duplicates other situational characteristics generally considered as context, structure, process, and so forth. Second, perceptual forms of measurement may also be tautological with individual differences measures. Thus, in most usages organizational climate would neither deserve a separate component in an organizational model nor qualify as a construct because even the rudiments of a nomological net are unidenti-fied, p. 1109.

The basis of James and Jones's thinking is a set of definitions that distinguish between Situational Variables, Psychological Climate, and Organizational Climate. In their work, Situational Variables are those more fixed and consistent factors in the context. They are such variables as resources, formalization of procedures and system norms.

As a next step, James and Jones make distinctions between the individuals perception of the organization (i.e., Psychological Climate) and the groups perception of the organization. (i.e., Organizational Climate). James and Jones argue that many of the inconsistencies in findings and discussions in the literature tend to be failures in defining concepts and use of related valid measures. They site repeated examples of studies where the distinctions between Situational Variables, Psychological Climate, and Organizational Climate have not been preserved and cases where measures have not been defined with a consistent definition of the variables that are to be measured. In other instances,

problems have resulted from using an instrument that did not measure the concept being discussed. For example, having the study questions identify organizational climate factors and the data collection based on a measure of leader behaviors.

It was the discovery of the work of James and Jones (1974) that led my colleagues and myself, to adopt operational distinctions between Situational factors, and Psychological Climate and Organizational Climate. As a consequence, we developed a new set of measurement procedures that used different protocols for documenting characteristics of a Situation and assessing Psychological Climate. The definition of Organizational Climate then was defined as the aggregation of the values for the Psychological Climate factors, (Hall and Griffin, 1982).

The reason for presenting this discussion here is to briefly point out how problematic studies of climate have been. Before one can talk about the role of the school principal in setting climate, it is important that some definition of climate be made operational. Without first making the frame of reference clear, it would be impossible to describe how some other factor, in this case the behavior of the school principal, affects the frame.

In this paper, School Climate will be defined as a Psychological Climate variable. This is in line with the James and Jones where the definition of climate is based on the individuals perceptions of their context. More specifically, I am proposing that a subpart of school life be the focus: the change process. Admittantly, this represents a further narrowing of the definition of climate, however there is conceptual and practical utility in doing this. Rather then talking about all aspects of life in the school, the focus will be upon the individuals perceptions and or attitude towards change and school improvement. The variable that will be used for doing this is the idea of Stages of Concern, which has been the subject of extensive research. (for a summary see Hall & Hord, 1987).

One other reason for selecting Stages of Concern is that it is an individual concept with a way of assessing that is reliable at the individual level. (Hall, George & Rutherford, 1979). The concept and its measure have the additional advantage of being able to be aggregated across a total set of teachers, which provides a concept and scaling for looking at the equivalent of James and Jones Organizational Climate. With the Stages of Concern concept, individual and group perceptions can be interpreted relative to the role of the school principal.

STAGES OF CONCERN AS A CLIMATE VARIABLE

The concept of concerns emerged out of earlier research by Francis Fuller (1969), who studied what she called the "concerns" of teachers about their teaching. In this work, she observed the kinds of worries, areas identified as being problems and the preoccupations of student teachers as they moved through their teacher education program. She observed that there were some general clusters or categories to these concerns. Further, they seemed to shift in ways that could be predicted.

At the early points in a teacher education program, pre-service teachers concerns tended to be "unrelated" to the task of teaching. Their concerns dealt with receiving passing grades in content courses, getting along with roommates, and other non teaching and school issues.

At the time of initial field experiences, student teachers began to express what Fuller called, "self" concerns. These concerns although focused on the jobs of teaching, had more of an egocentrism to their focus. They were about teaching but focused on teacher rather than student needs.

As the student teaching process continued Fuller observed that another category of concerns that she called, "task" concerns, became more intense. In this phase, student teachers were concerned about the amount of time that it took to prepare lesson plans, grade papers, and manage classrooms. Ultimately, another type of concern could be expressed that Fuller called, "impact" concerns. These concerns focus on issues of increasing teaching competence and concern about how well their pupils are learning.

In research in the 1970's and 1980's, my colleagues and I (summarized in Hall and Hord, 1987), observed that the phenomenon of concerns was equally applicable to teachers, professors, and personnel in industry when they were involved in change. We divided the self, task and impact concerns categories into seven Stages of Concern about an Innovation. These Stages of Concern are summarized in Figure 1.

It was observed in our studies that as teachers moved through a change process, that is as they became familiar with, began using, and ultimately institutionalized use of educational innovations, that their concerns progressed through the same type of unrelated to impact progression that had earlier been observed by Fuller in her studies of student teachers.

In our early studies we found that teachers did not have concerns at only one stage at a time. Rather they had a

combination of concerns, with certain stages being more intense and other stages relatively less intense. The data indicated that there was a "profile" to the concerns, and as the change process unfolded the profile shifted to make a "wave" motion of shifting concerns that is illustrated in Figure 2.

We also observed in our work with Stages of Concern (SoC) that the idealized evolution to concerns did not always occur. Rather than teachers in most schools evolving in the progression that is implied in Figure 2, they would be more apt to become "arrested" with certain of the Stages of Concern remaining more intense for extended periods of time. In fact, in some schools, Self and Task Concerns were not resolved for as long as five years of data collection. One of our hypotheses about this, that was later the subject of research, was that the principal played a significant role in determining whether or not teachers concerns tended to evolve in the idealized progression that is illustrated in Figure 2. (Hall, Hord & Griffin, 1982).

This concept of Stages of Concern is proposed as one way to look at climate in the school. According to James and Jones, Psychological Climate involves the individuals perceptions. In this case, the procedure for describing their perceptions is to specifically target the teachers role in change and improvement efforts and to examine their concerns about that role. These days as never before, school improvement is the band wagon of American education. Examining climate in terms of teachers perceptions of innovation and change would seem to be not only consistent with research, theory and practice, but a definition of climate that is consistent with the dominant theme in American education.

PRINCIPALS: CHANCE FACILITATOR STYLE

In order to examine the principal's role in establishing school climate, a complimentary set of variables are needed to describe what principals do. There is a need for a set of categories and ways of talking about the principals activity and behavior that can be associated with climate effects. To do this, I am returning to a related set of research that my colleagues and I have done dealing with what we call, Change Facilitator Styles, (Hall, Rutherford, Hord and Huling-Austin, 1984). In this work, we examined the intervention behavior of principals and their concerns about their role as a facilitator. Further, we examined their affects on teachers success in implementing school improvement activities. The concept of Change Facilitator Style emerged out of a series of studies where we found that implementation success was

directly related to the role that the principal played as documented in terms of their intervention behaviors. (Huling, Hall, Hord & Rutherford, 1983).

One major outcome of this set of studies was the identification of three different stereotypic patterns of behaviors that different school principals used. These were defined as three different Change Facilitator Styles. These styles do not represent all possible ways of providing leadership, however they do represent clear contrasting patterns. These three styles are the Initiator, Manager and Responder. Definitions of each of these styles are summarized in Figure 3.

There is a set of dimensions to these styles that have been summarized elsewhere. (Hall & Hord, 1984). Obviously, other styles can be identified. However, there does appear to be a pattern of relationships ranging from the [illegible] now-focused and perception checking orientation of the Responder style principal, to the more administrative-efficient behavior of the Manager style principal, to the vision-oriented strategic thinking style of Initiator principals. Other styles that can be imagined include the despot that is to the right of the Initiator style and the various types of saboteurs that can be envisioned to the left of the Responder style. In reality, most principals will probably represent a combination of various of these styles. For the purposes of our research, however, we deliberately sampled and studied principals who tended to represent one or another of the three styles.

Out of the in-depth year long study of nine school principals, sets of behavioral indicators of each of the styles were developed as further detail for the summary descriptions presented in Figure 3. The research entailed documenting the "interventions" (Hall & Hord, 1984) that principals did, day to day, and how these interventions accumulated across time. A summary of the Intervention Taxonomy that was used to analyze principals interventions is included as Figure 4. One of the findings in this study, the Principal Teacher Interaction Study, was that even within schools where implementation was in the second or third year principals were surprisingly busy as interventionist. In fact, on average, principals made merely two hundred innovation related "incidents" level interventions during the school year.

There also was a consistent finding in the study that Responder Style principals made significantly fewer interventions, while Manager Style principals made the highest number of incident level interventions. The Initiator Style principals made many more interventions then the Responder

Style principals, however, the Manager Style principals tended to be the busiest.

One important and related point from our most recent research is that this count of interventions by principals has to be considered in a larger context that includes the roles of other members of the Change Facilitating Team (Hall & Hord, 1986). As we have pointed out before, "principals don't do it alone," the roles of other school based and external facilitators must be taken into account in thinking about the total picture of interventions that occur in a school (Hord, Stiegelbauer & Hall, 1984).

However, for the purposes of this paper, it is sufficient to introduce the concept of Change Facilitator Styles as an aggregate way to talk about some aspects of the leadership role of the principal. This is especially so in terms of how their intervention behavior has an accumulating affect on school climate.

ORGANIZING FRAMEWORK

The framework outlined in Figure 5 is an attempt to draw together the concepts of Interventions, Organizational Climate, Psychological Climate, outcomes and the role of the school principal with the recent studies of teacher concerns and principal CF style. A basic premise is that the principals primary role in establishing climate and affecting student outcomes is to target his/her interventions on teachers. These interventions can be targeted at the individual, sub-group and total staff. Also, interventions need to be thought about at multiple levels of abstractions, ranging from the moment to moment "incidents", to the cross day and month accumulation of "tactics", to the year long and multi-year accumulation of "strategies".

Principal affects on climate are obtained through the accumulating effects of each incident intervention. This will be true for individual teachers and concomitantly their perceptions of their school's climate (i.e. psychological climate) and for the staff as a whole (i.e. organizational climate). Using James and Jones (1974) perspective, Psychological Climate (PC) can be defined and assessed in terms of individual teachers Stages of Concern (SoC) and Organizational Climate (OC) can be assessed by aggregating individual Stages of Concern profiles. Of course, caution must be heeded in how the individual data are aggregated in order to not mask major subgroup and individual differences.

Outcomes in terms of students can be assessed according to the criteria of particular importance at the time. Student achievement could be measured, or other factors such as incidents of vandalism or student participation rates could be used. In any case, the premise here is that what principals do (and don't do) is directly related to the way teachers, individually and collectively, perceive their school. Further, the characteristics of interventions (e.g. quantity, target(s), function) affect climate and in turn teachers perceptions affect students. Although the world of schools is not this linear, it is my belief that principals account for more variance in climate than do teachers, students, or district office personnel. All can play a part, but in the end most efforts have to pass through (or by design around) the principal.

Having established a set of operational variables and framework, it is now appropriate to shift to the primary mission of this paper, the role of the school principal in setting school climate. I should note in passing, that I have not gone into a discussion of the distinctions between school and classroom climate. I am assuming that this is being adequately handled by the other papers in this symposium.

THE RELATIONSHIP OF PRINCIPAL STYLE TO TEACHERS CONCERNS

The basic point to be illustrated in this part of this paper is that depending on what the principal does, school climate will vary dramatically. Further, there are ways to describe and analyze what principals do, just as there are ways to systematically analyze and describe teachers perceptions. The presentation of these findings and hypotheses will be along a developing pattern of shifts in style and behavior emphasis on the part of the principal with concomitant shifts in what happens to teachers concerns. The flow will be from discussion of the Responder Style, towards the Manager Style and then on to the Initiator Style of school leadership. The discussions of each style will be parallel in terms of content and information presented. The paper concludes with a cross style summary and discussion of implications. Note that the descriptions that follow represent a combination of analyses of findings from our Principal Teacher Interaction study and inferences from observations and discussions with principals and teachers. A desired next step would be to design and conduct a set of quasi-experimental studies to test these hypotheses.

This concerns dynamic can be observed in less discussion among teachers about instructional issues, a general attitude of noncommunication of teachers to outsiders, an unwillingness to agree on issues (even simple ones) within the school and at times passive to hostile acceptance of suggestions for change and improvement. In its extreme, teachers become so isolated and individualistic in this setting that there is difficulty in agreeing over such things as the location of the coffee pot. In some instances, a sub group of teachers end up "running" the school.

PRINCIPAL ROLE: MANAGER STYLE

Manager Style Principals try to do everything at once and be everywhere at once. They spend extra long hours at their schools and place heavy emphasis upon their strong suit, which is the efficient organization of administrative procedures, resources and routines. In Manager Style led schools, the systems and procedure work well, resources are procured and teachers are supported in terms of logistic and related administrative parameters. These principals tend to over protect teachers from outside pressures and cushion the arrival of innovations. When they commit to implementation, they are skilled at facilitating smooth implementations, especially in terms of logistics, resources and administrative procedures.

PSYCHOLOGICAL CLIMATE WITH MANAGER STYLE PRINCIPALS

As illustrated in Figure 6, teachers in the school with the Manager Style principal tend to have few concerns about innovations once implemented. When they do, they will tend to be hints of impact concerns, especially Stage 4 Consequence. They, as do most teachers, begin the change process with a typical "non user" concerns profile as was illustrated in Figure 2. However, due to the administrative skill and efficiency of the Manager Style principal, their teachers do not maintain intense Stage 2 Personal and Stage 3 Management concerns for long periods. These types of concerns are anticipated by the Manager Style principal, or resolved as they arise due to the principals skill in administrative and organizational matters.

PRINCIPAL ROLE: RESPONDER CHANGE FACILITATOR STYLE

Principals leading with a Responder Change Facilitator Style place heavy emphasis on attending to the present situation. They do not focus on future visions or alternative directions. Instead, much of their activity is to monitor and pulse the feelings and perceptions of school staff, district office personnel, and community represen- tatives. They tend to allow all sorts of activity to be initiated in their buildings without becoming personally involved or doing any close-up monitoring. They often state the equivalent of "my teachers are strong and if I check up on them, they will think that I do not trust them". They are most willing to let outside agents bring new programs and processes to the building. They also tend to neglect details and passively rely on others to get the jobs done. They tend to make fewer innovation related interventions. They are more willing to talk socially, and engage in non-shop talk and participate in informal meetings. With other principals they tend to be less visible on instructional issues.

PSYCHOLOGICAL CLIMATE WITH RESPONDER STYLE PRINCIPALS

The teacher concerns profile be observed in schools with Responder Style principals is represented by the "Big W" illustrated in Figure 6. Teachers tend to have higher Stage 3 Management concerns and Stage 6 Refocusing concerns and to maintain this profile for extended periods of time (e.g. years). The dynamic of this appears to be that each teacher is not able to get information and help on scheduling, obtaining materials or to experience consistency and efficiency in relation to regular practices and innovative activities. As a result, they tend to have increased frustration about logistics and to be consistently thinking about unresolved issues in relation to the management and organization of use (and perhaps non-use) of the innovation. When this type of profile is maintained across a school year, and in many instances it has been observed to occur across several years, then teacher frustration and disenchantment can become quite intense, vocal and loud.

ORGANIZATIONAL CLIMATE WITH RESPONDER STYLE PRINCIPALS

When a total staff has the "Big W' Concerns Profile, then the "climate" of the school can be rough indeed. That teachers are not pulling together is illustrated by their low Stage Five Collaboration concerns. Collectively they have a great deal of frustration over management issues and the lack of efficiency in how things are organized and run.

ORGANIZATIONAL CLIMATE WITH MANAGER STYLE PRINCIPAL

As we have observed with the use of more traditional climate measures (Hall & Griffin, 1982), (Hall & Hord, 1987), teachers in schools with Manager Style principals tend to have a relatively positive outlook towards their school and the climate in their school. Concerns are addressed and resolved, teachers are supported, and at the same time they are not "pushed" to go to unreasonable lengths. As a matter of fact, as is summarized in Figure 3, Manager Style principals "protect" their teachers from extra ordinary outside pressures and "dampen" the onslaught of new programs which makes teachers feel supported and a part of an effective organization.

PRINCIPAL ROLE: INITIATOR STYLE

Initiator Style principals are skilled at handling the administrative routines in their schools, but they do not stop there. They "push" to have teachers and students doing all that they can to excel. They have strongly held vision for where the school should be going, and carry out their day to day activities in line with their longer term strategic goals. They are around the school, in and about classrooms and constantly dealing with the "business" of schooling-teaching and learning.

PSYCHOLOGICAL CLIMATE WITH INITIATOR STYLE PRINCIPALS

As is illustrated in Figure 6, it is in schools with Initiator Style principals' that the full "wave motion" of SoC profiles is most likely to be observed. Initiator Style principals expect their teachers to move beyond the minimums and they are able to provide the leadership and support that is necessary to have teachers resolve their self and task concerns and move on to the arousal of various types of impact concerns (Stages 4, 5, 6). One direct result of this is that individual teachers tend to have as the primary focus concerns and perceptions about how their teaching is affecting students and what they can do to be more effective in teaching.

ORGANIZATIONAL CLIMATE WITH INITIATOR STYLE PRINCIPAL

As a staff, teachers in Initiator led schools tend to talk teaching and work together. In addition, it is in these schools where there will be more indication of Stage 5 Collaboration concerns. Teachers in these schools are supported and encouraged in their interactions with each other

about teaching and have ongoing dialogs relative to student needs and achievements. Also, it has been observed that Initiator principals support teachers in terms of having additional staff development activities. Not only do these principals see that the resources are there, they also check up on how teachers are using them and offer their own suggestions for ways that they think curriculum and teaching can continually be improved in the school. As a consequence, Stage 2 Personal and Stage 3 Management concerns tend to be resolved easily.

The more traditional climate data from these schools (Hall & Griffin, 1982); (Hall & Hord, 1987) (Ruch, 1984), indicate that teachers in these schools tend to be as positive about their school and what is going on in them as teachers in schools led by Manager Style Principals. In our study, (Hall & Griffin, 1982), teachers in Manager Style schools were slightly more positive about their climate while in the Ruch study, teachers in the Initiator Style schools tended to be slightly more positive. In either case, teachers in Manager and Initiator lead schools have dramatically more positive outlooks in terms of climate reports than do those in Responder lead schools.

IMPLICATIONS FOR THE PRINCIPALS ROLES IN SETTING CLIMATE

The above has been an overview discussion of thinking about the concept of climate and a discussion of different styles that principals can use with descriptions of observed differences in climate effects. In this last section, a set of summary points and issues are briefly discussed.

Some ways work better than others. Clearly, what the principal does and how the principal does it makes a difference. Based on the recent studies of my colleagues and myself the findings are consistent, teachers have more positive climate individually and collectively in schools where principals work with more of the Manager or Initiator Styles as contrasted with schools where principals lead with the Responder Style.

Note that we are talking about different degrees of success. None of the studies have been done in schools that were in "trouble" or where the study schools implementation efforts were failures. It is clear from the studies that the principals work in different ways just, as teachers do, and that some ways are associated more positively with what goes on in the school. Not only in terms of climate, but also in terms of implementation success. (Huling, Hall, Hord & Rutherford, 1983).

Focus on the tasks at hand. One of the keys to success, appears to be the ability of Manager and Initiator Style principals to focus on the tasks at hand that need to be done to support teachers. The Responder Style principals tend to not focus, other than to spend most of their energy upon perception checking. They do not anticipate well and are slow to react by moving to resolve issues or to address perceptions, instead they continue to monitor.

There are jobs that need to be done to support teachers individually and collectively. When those jobs are done, teachers tend to be able to have their earlier self and task concerns resolved. Whether or not the later arousal of impact concerns occurs, the potential to do so requires as its foundation the resolution of earlier self and task concerns. This indeed requires a combination of administrative efficiency and instructional leadership.

Intervene based on teachers concerns. To have self and task concerns resolved, principals must intervene in terms of where the teachers are, not solely in terms of where the principal is. Informational, Personal, and Management concerns must be addressed in terms of the dynamic of those concerns stages and the substance and content of "what" the concerns are about. Manager Style principals as well as Initiator Style principals quickly and efficiently address self and task concerns issues as they are aroused. In fact, in many instances, Initiator Style principals anticipate the arousal of self and task concerns and do things to offset their ever becoming aroused or extraordinarily intense.

The arousal of impact concerns requires additional intervention activity that seems to be the unique province of Initiator Style principals. They are the ones with vision and a commitment to first hand involvement in instruction in their schools. On the other hand, the Manager Style principals tend to see their job as complete when the administrative, organizational and resource tasks are done. The Initiator Style principal sees those as the routine beginnings and the real job of principaling is pushing for continual improvement in teaching and learning.

What this means for teachers in the Manager and Initiator Style schools is that they are supported in the task of teaching, have clear understandings of the expectations and directions, and are protected from most of the needless interruptions and outside demands. In Initiator Style schools there is the additional pressure to continually improve teaching and learning. This tends to mean more work and a heavier energy commitment in schools with an Initiator Style principal. Interestingly, this does not appear to associated with diminished or less positive climate.

Keep in mind where you are going. One of the keys to the effectiveness of Manager and Initiator Style principals appears to be their ability to think about individual incident interventions and at the same time to keep in mind the longer term goals. In terms of change the goal emphasis is on attaining institutionalization and with the Initiator ultimately refinement of use of educational innovations and school improvement processes.

The Responder Style principal tends to be preoccupied with the checking of perceptions and needs of teachers, community members, district office personnel and other outside groups. This over preoccupation with perception checking appears to get in the way of developing and maintaining a longer term view. As a consequence, many of their day to day and moment to moment actions are done in isolation of other actions with the concomitant pattern of less certainty and consistency, which is a corollary of less positive climate. Initiator Style principals, on the other hand, are constantly examining the meanings of incident interventions they have made, considering incident interventions they would like to make or need to make, and placing all of these into the larger picture of accumulating effects and longer term meanings. This strategic sense appears to be unique and special to Initiator Style principals and important for the arousal of impact concerns and sustaining continuing school improvement efforts.

Leadership means continuous intervention with the aim of accumulating effects. To develop and maintain a positive school climate means the doing of many different things. It is not something that can simply be accomplished in a one or two day workshop, or will it happen by having a consultant for a year. There has to be an image of what the goals are and actions have to be taken moment to moment, day to day, and month to month to see that the necessary mechanism, supports and leadership are there. Teachers need and deserve encouragements and rewards for putting in the psychological as well as physical effort to make the school a positive place. The concepts proposed here, such as Stages of Concern and Change Facilitator Style, provide a way to think about the intervention behaviors of the leader, the affects that they have on individuals and the accumulative strategic meaning that is necessary to develop an overall positive school climate. Developing and sustaining a positive climate is a process that takes time, continuity and skill.

There is a desired direction which is shared. It appears that more positive climates occur in places where there is a shared understanding of the vision and therefore priorities. This needs to be developed by and involve all staff, but here the leader needs to be the principal. An illustration of how

this can unfold is well documented in recent studies by Vandenberghe (1986). In his studies, he has been examining how large scale innovations, developed at the state and national level, are interpreted when they are implemented at the school level. Vandenberghe has proposed the concept of Local Innovation Policy (LIP) to describe the different ways that principals work with their staffs to interpret, implement and institutionalize school improvement practices. It is clear from these studies that the principal who is more interactive and collegial with his staff, who keeps in mind the longer term picture who engages in planning and is also able to do the day to day administrative details is the one whose school is most successful in implementation.

This dimension of collegiality and shared visioning has been identified in the work of Little (1981), too. She has emphasized the importance of teacher collegiality in school improvement. This factor is reflected in the Stages of Concern work through the arousal of Stage 5 Collaboration concerns, which is one of the impact concerns stages. Unless teachers earlier self, (especially Stage 2 Personal) and task concerns are resolved, it appears to be impossible for teachers to develop the collegial type norms that Little is advocating. Again, the role of the school principal is the key, the Initiator and Manager Style principals appear to be doing more of those types of things that make it possible for collegial norms, collaborative planning, and impact concerns to be established and maintained.

IN SUMMARY

The concepts proposed here represents summaries of major research thrusts. Each of which could have been broken out and described in enormous detail. Instead, each of these concepts has been highlighted to illustrate how they can be used in combination to talk about the business of principals providing leadership that leads to the establishment of various kinds of school climate.

For the practitioner who is reviewing this paper and asking for more "how to do it" information, the advice is to turn to the in-depth descriptions of Stages of Concern, Change Facilitator Style, the Concept of Interventions, and the descriptions of Climate that have been referred to. The details within each of these give guidance on the "how to do it's".

For the researcher who is interested in exploring any of these concepts further, the recommendation is to think more about the organizing framework proposed in Figure 5. There is

a critical need for more in-depth longitudinal studies to provide the combination of enriched detail about the moment to moment happenings and to have the necessary time line to watch the longer term cumulative picture. Both parts are necessary for making causal links between what principals do and the affects they have on teachers and ultimately students in their schools.

Principals do make a difference and researchers are beginning to have concepts, measures and strategies for studying the process. For best results we need a combination of disciplines and practitioner perspectives. One of the reasons that we understand so little about climate after studying it so much is our inability to merge standardized, of research methods (e.g. concept definition, reliable and valid measurement and field work) with the time it takes (i.e. three to five years) to lead and develop a school staff. In the future we need to look more closely for longer periods of time at what Manager and Initiator style principals do that makes such a differences in teachers Concerns.

REFERENCES

Fuller, F. F. (1969). Concerns of teachers: A developmental conceptualization. American Educational Research Journal, 6(2), 207-226.

Hall, G. E., George, A., and Rutherford, W. L. (1979). Measuring stages of concern about the innovation: A a manual for use of the SoC questionnaire. (Report No. 3032). Austin: The University of Texas at Austin, Research and Development Center for Teacher Education. (ERIC Document Reproduction Service No. ED 147 342).

Hall, G. E., & Griffin, T. (1982). Analyzing context climate in school settings -- which is which? Paper presented at the annual meeting of the American Educational Research Allocation, New York.

Hall, G. E., Hord, S. M. (1984 March). A framework for analyzing what change facilitators do: The intervention taxonomy. Knowledge, creation, diffusion, utilization, 5(3), 275-307.

Hall, G. E. & Hord, S. M. (1986). Configurations of School-based leadership teams. Paper presented at the annual meeting of the American Educational Research Association, San Francisco.

Hall, G. E. & Hord, S. M. (1987). Change In Schools: Facilitating The Process. State University of New York Press, Albany, New York.

Hall, G. E., Rutherford, W. L., Hord, S. M. & Huling-Austin, L. L. (1984 February). Effects of three principal styles on school improvement. Educational Leadership. 41(5), 22-29.

Hall, G. E. & Hord, S. M. (1987). Change in Schools: Facilitating the process. Albany, NY: State University of New York press.

Halpin, A. & Croft, D. (1963). The organizational climate of schools. Chicago: Midwest Administrative Center, University of Chicago.

Hersey, P., and Blanchard, K. H. (1977). Management of organizational behavior: Utilizing human resources (3d ed.). Englewood Cliffs, NJ: Prentice-Hall.

Hord, S. M. Stiegelbauer, S. M., and Hall, G. E. (1984, November). How principals work with other change facilitators. Education and Urban Society, 17,(1) 89-109.

Huling, L. L., Hall, G. E., Hord, S. M. & Rutherford, W. L. (1983). A multi-dimensional approach for assessing implementation success (Report No. 3157). (ERIC Document Reproduction Service ED 250 328).

James, L. R. & Jones, A. P. (1974). Organizational Climate: A review of theory and research. Psychological Bulletin, Vol. 81, No. 12, 1096-1112.

Little, J. W. (1981). School success and staff development in urban desegregated schools: a summary of recently completed research. Boulder, CO; Center for Action Research.

Ruch, C. P. (1984). Inquiry into school climate and change facilitator style. Richmond, Virginia: Virginia Commonwealth University.

Vandenberghe, R. (1986). The renewed primary school in Belgium. Analysis of the local innovation policy. Leuven, Belgium: Center for Educational Policy and Innovation, Katholieke Universiteit.

Figure 1.

STAGES OF CONCERN ABOUT THE INNOVATION

6 REFOCUSING: The focus is on exploration of more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. Individual has definite ideas about alternatives to the proposed or existing form of the innovation.

5 COLLABORATION: The focus is on coordination and cooperation with others regarding use of the innovation.

4 CONSEQUENCE: Attention focuses on impact of the innovation on students in his/her immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes, including performance and competencies, and changes needed to increase student outcomes.

3 MANAGEMENT: Attention is focused on the processes and tasks of using the innovation and the best use of information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.

2 PERSONAL: Individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decision-making and consideration of potential conflicts with existing structures or personal commitment. Financial or status implications of the program for self and colleagues may also be reflected.

1 INFORMATIONAL: A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about himself/herself in relation to the innovation. She/he is interested in substantive aspects of the innovation in a selfless manner such as general characteristics, effects, and requirements for use.

0 AWARENESS: Little concern about or involvement with the innovation is indicated.

Hall, G. E. & Hord, S. M. (1987). Change In Schools: Facilitating The Process. State University of New York Press, Albany, New York.

FIGURE 2

Hypothesized Development of Stages of Concern

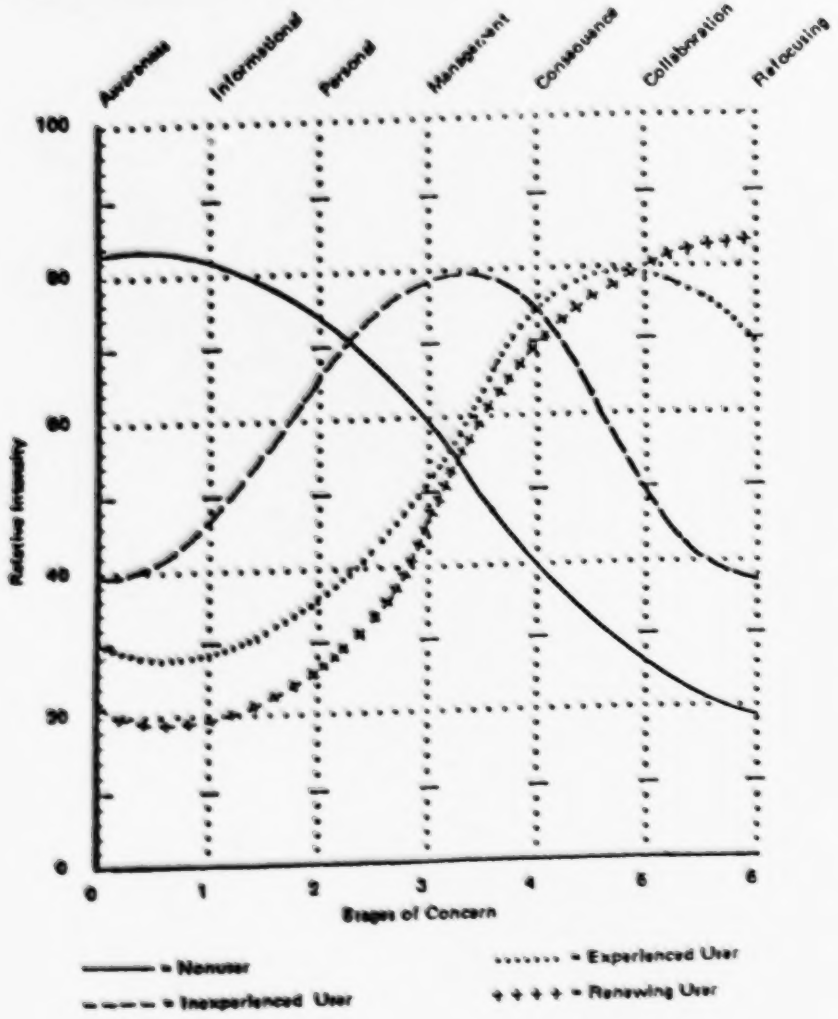


Figure 3.

DESCRIPTION OF THREE CHANGE FACILITATOR STYLES

Initiators have clear, decisive long-range policies and goals that transcend but include implementation of the current innovation. They tend to have very strong beliefs about what good schools and teaching should be like and work intensely to attain this vision. Decisions are made in relation to their goals for the school and in terms of what they believe to be best for students, which is based on current knowledge of classroom practice. Initiators have strong expectations for students, teachers and themselves. They convey and monitor these expectations through frequent contacts with teachers and clear explication of how the school is to operate and how teachers are to teach. When they feel it is in the best interest of their school, particularly the students. Initiators will seek changes in district programs or policies or they will reinterpret them to suit the needs of the school. Initiators will be adamant but not unkind, they solicit input from staff and then decisions are made in terms of the goals of the school, even if some are ruffled by their directness and high expectations.

Managers represent a broader range of behaviors. They demonstrate both responsive behaviors in answer to situations or people and they also initiate actions in support of the change effort. The variations in their behavior seem to be linked to their rapport with teachers and central office staff as well as how well they understand and buy into a particular change effort. Managers work without fanfare to provide basic support to facilitate teachers' use of an innovation. They keep teachers informed about decisions and are sensitive to teacher needs. They will defend their teachers from what are perceived as excessive demands. When they learn that the central office wants something to happen in their school they then become very involved with their teachers in making it happen. Yet, they do not typically initiate attempts to move beyond the basics of what is imposed.

Responders place heavy emphasis on allowing teachers and others the opportunity to take the lead. They believe their primary role is to maintain a smooth running school by focusing on traditional administrative tasks, keeping teachers content and treating students well. They view teachers as

strong professionals who are able to carry out their instructional role with little guidance. Responders emphasize the personal side of their relationships with teachers and others. Before they make decisions they often give everyone an opportunity to have input so as to weigh their feelings or to allow others to make the decision. A related characteristic is the tendency toward making decisions in terms of immediate circumstances rather than in terms of longer range instructional or school goals. This seems to be due in part to their desire to please others and in part to their more limited vision of how their school and staff should change in the future.

Hall, G. E., Rutherford, W. L., Hord, S. M., & Huling, L. L. Effects of three principal styles on school improvement. Educational Leadership, 41(5), February, 1984, 22-29.

Figure 4.

INTERVENTION LEVELS

(Brief Descriptions

An intervention is an action or event that influences use of the innovation.

POLICY: Rules and procedures.

GAME PLAN: The overall implementation plan.

GAME PLAN COMPONENT: The six major functional clusters of innovation related interventions.

- GPC 1: Developing Supportive Organizational Arrangements
- GPC 2: Training
- GPC 3: Providing Consultation and Reinforcement
- GPC 4: Monitoring and Evaluation
- GPC 5: External Communication
- GPC 6: Dissemination

STRATEGY: An interrelated set of interventions, typically covering a school year.

TACTIC: An interrelated set of interventions within a a short period of time.

INCIDENTS: The singular occurrence of an action or event.

Hall, G. E., Zigarmi, P., & Hord, S. M. A taxonomy of interventions: The prototype and initial testing. Austin: Research and Development Center for Teacher Education, The University of Texas, 1979.

Hord, S. M., Hall, G. E., & Zigarmi, P. Anatomy of incident and tactic interventions: Dimensions, design. Austin: Research and Development Center for Teacher Education, The University of Texas, 1980.

Hall, G. E. & Hord, S. M. Analyzing what change facilitators do: The intervention taxonomy. Knowledge, March, 1984.

Figure 5. A framework for relating principal leadership and school climate variables.

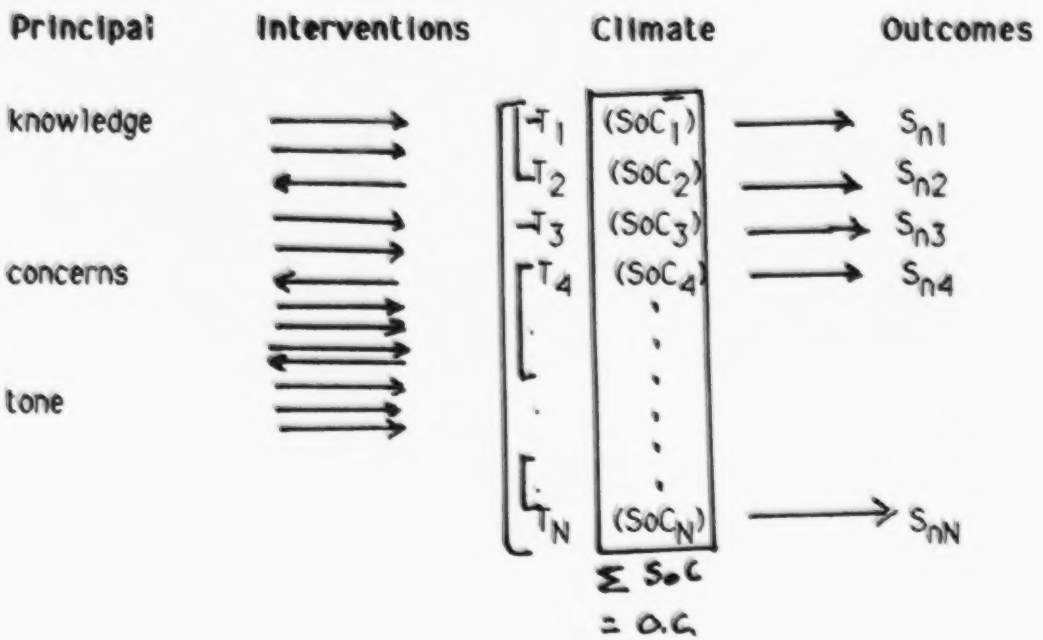
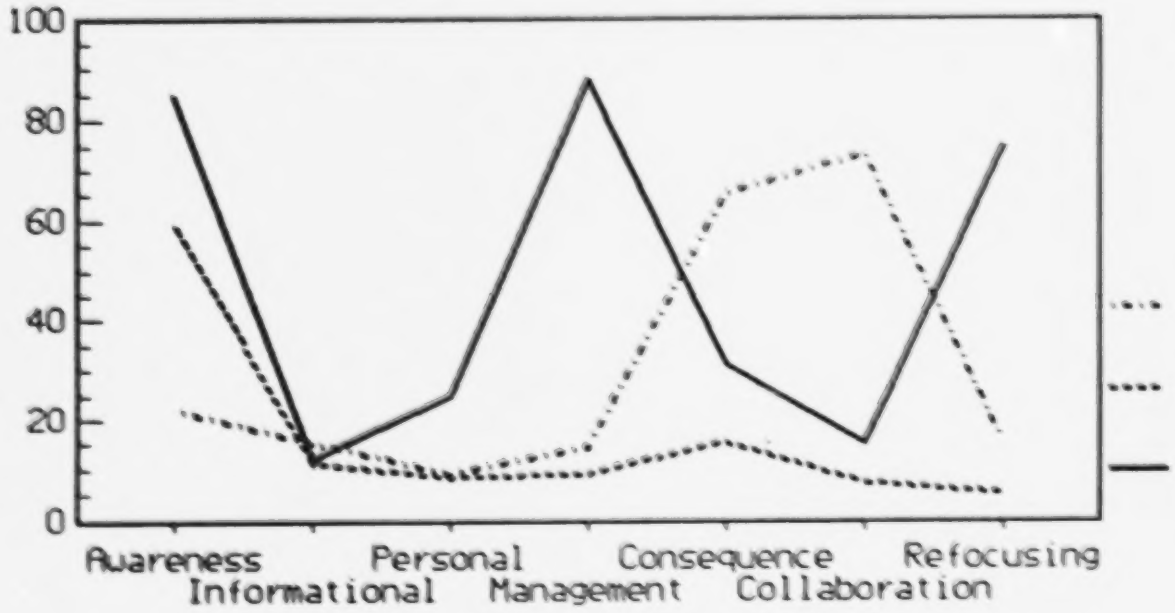


Fig. 6 Comparison of typical SoC profiles for teachers with different principal change facilitator style



Stages of Concern about the Innovation

.-.-. with Responder CF Style

---- with Manager CF Style

____ with Initiator CF Style